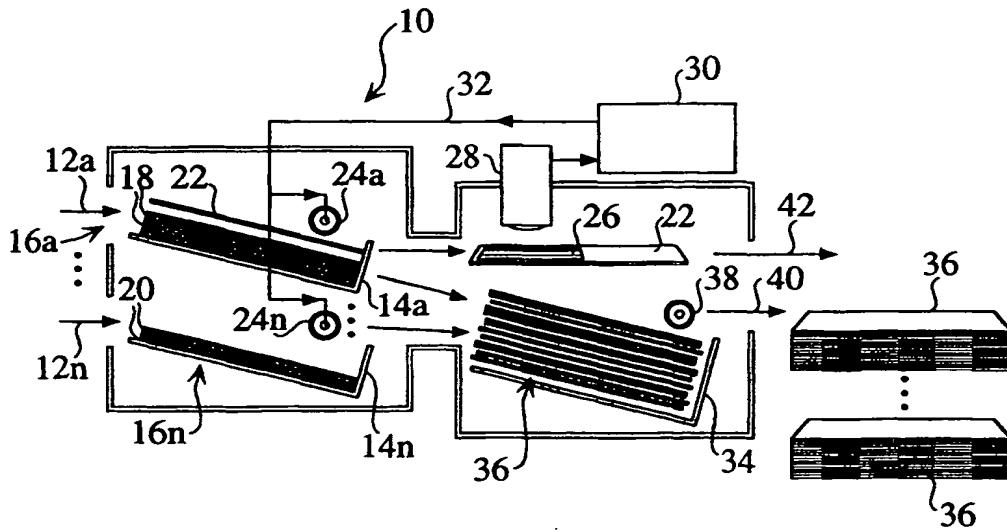




## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

(51) International Patent Classification 6 : <b>B65H 39/04, B42C 19/02</b>		A1	(11) International Publication Number: <b>WO 99/36338</b>
			(43) International Publication Date: 22 July 1999 (22.07.99)
(21) International Application Number:	PCT/US98/25250	(81) Designated States:	AL, AU, BA, BB, BG, BR, CA, CN, CU, CZ, EE, GE, HR, HU, ID, IL, IS, JP, KP, KR, LC, LK, LR, LT, LV, MG, MK, MN, MX, NO, NZ, PL, RO, SG, SI, SK, SL, TR, TT, UA, UZ, VN, YU, ARIPO patent (GH, GM, KE, LS, MW, SD, SZ, UG, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GW, ML, MR, NE, SN, TD, TG).
(22) International Filing Date:	25 November 1998 (25.11.98)		
(30) Priority Data:	09/008,895 20 January 1998 (20.01.98) US		
(71) Applicant:	ELECTRONICS FOR IMAGING, INC. [US/US]; 2855 Campus Drive, San Mateo, CA 94403 (US).		
(72) Inventor:	MOTAMED, Margaret; 410 Nantucket Street, Foster City, CA 94404 (US).		
(74) Agents:	GLENN, Michael, A. et al.; Law Offices of Michael A. Glenn, 125 Lake Road, Portola Valley, CA 94028 (US).		

## (54) Title: MIXED FORMAT FINISHING DEVICE



## (57) Abstract

A hybrid mixed format document that contains document portions (16A-16N) prepared by different format sources, such as both black and white and colored pages, prepared by separately printing the colored pages on a color printer, and the black and white pages on a black and white printer. The two document portions are then put in separate locations within a mixed format finishing device (10). One of the document portions, for example the black and white document portion, includes a cover sheet (22) that provides encoded information (26), which tells the finishing device how to merge the two document portions into a complete publication (36). One advantage of the mixed format finishing device is that those pages that contain only text may be printed on a faster, and less costly black and white printer. In a preferred embodiment, the cover sheet controls the document merging process in such a manner that if one document is misprinted or mismeasured, the mismeasured document may be shuttled aside and merging may continue with the next complete document set.

**FOR THE PURPOSES OF INFORMATION ONLY**

Codes used to identify States party to the PCT on the front pages of pamphlets publishing international applications under the PCT.

AL	Albania	ES	Spain	LS	Lesotho	SI	Slovenia
AM	Armenia	FI	Finland	LT	Lithuania	SK	Slovakia
AT	Austria	FR	France	LU	Luxembourg	SN	Senegal
AU	Australia	GA	Gabon	LV	Latvia	SZ	Swaziland
AZ	Azerbaijan	GB	United Kingdom	MC	Monaco	TD	Chad
BA	Bosnia and Herzegovina	GE	Georgia	MD	Republic of Moldova	TG	Togo
BB	Barbados	GH	Ghana	MG	Madagascar	TJ	Tajikistan
BE	Belgium	GN	Guinea	MK	The former Yugoslav Republic of Macedonia	TM	Turkmenistan
BF	Burkina Faso	GR	Greece	ML	Mali	TR	Turkey
BG	Bulgaria	HU	Hungary	MN	Mongolia	TT	Trinidad and Tobago
BJ	Benin	IE	Ireland	MR	Mauritania	UA	Ukraine
BR	Brazil	IL	Israel	MW	Malawi	UG	Uganda
BY	Belarus	IS	Iceland	MX	Mexico	US	United States of America
CA	Canada	IT	Italy	NE	Niger	UZ	Uzbekistan
CF	Central African Republic	JP	Japan	NL	Netherlands	VN	Viet Nam
CG	Congo	KE	Kenya	NO	Norway	YU	Yugoslavia
CH	Switzerland	KG	Kyrgyzstan	NZ	New Zealand	ZW	Zimbabwe
CI	Côte d'Ivoire	KP	Democratic People's Republic of Korea	PL	Poland		
CM	Cameroon	KR	Republic of Korea	PT	Portugal		
CN	China	KZ	Kazakhstan	RO	Romania		
CU	Cuba	LC	Saint Lucia	RU	Russian Federation		
CZ	Czech Republic	LI	Liechtenstein	SD	Sudan		
DE	Germany	LK	Sri Lanka	SE	Sweden		
DK	Denmark	LR	Liberia	SG	Singapore		
EE	Estonia						

## MIXED FORMAT FINISHING DEVICE

### ***FIELD OF THE INVENTION***

5 The invention relates to the field of document assembly systems. More particularly, the invention relates to a document finishing system for the controlled assembly of mixed format documents.

### ***BACKGROUND OF THE INVENTION***

10 Document finishing systems are used for a variety of printing, compiling, and binding applications.

15 J. Soler, K. Moore, D. Miller, and R. Eisemann, *Apparatus and Method of Controlling Interposition of Sheet in a Stream of Imaged Substrates*, U.S. Patent No. 5,489,969 (06 February 1996) disclose a technique for controlling the interposition of one or more special sheets into a stream of regular imaged substrates. In one example, the insertion of special sheets is determined by preset time intervals, which can be adjusted to accommodate the timing of hardware, such as printers. In another example, the interposition of a special insert sheet with the stream of imaged substrates is maintained by comparing the distance between a special insert sheet fed to the stream and an adjacent regular imaged substrate with a predefined tolerance, and adjusting the feed times of subsequent special insert sheets. While Soler et al. disclose complicated time and distance spacing between special sheets and a stream of regular substrates, they fail to disclose a comprehensive solution to providing an information map to compile an entire hybrid document.

20 25 D. Platteter and J. Carter, *System Architecture for Attaching and Controlling Multiple Feeding and Finishing Devices to a Reproduction Machine*, U.S. Patent No. 5,629,775 (13 May 1997) disclose an electronic image processing apparatus which includes a marking machine, a source of copy sheets, a controller, and a plurality of resources, in which each of the resources includes an associated processor for storing data related to the operational timing of the associated resource. While Platteter et al. disclose a system architecture for attaching multiple finishing devices to a reproduction machine, they fail to provide a document finishing device for assembling hybrid documents originating from a plurality of printers.

30 35 C. Conrad, R. Coons, and T. Cherry, *Sheet Inserter and Methods of Inserting Sheets into a Continuous Stream of Sheets*, U.S. Patent No. 5,272,511 (21 December 1993) disclose a sheet inserter that "inserts special insert sheets into a continuous stream of sheets. The insert sheet and the continuous stream of sheets are then conveyed to a

final destination, where the sheets are compiled into a stack. While Conrad et al. disclose the insertion of special sheets within a continuous stream of sheets, they fail to disclose the use of a mixed format finishing device that collates sheets from a number of sources in response to self-contained instructions residing on one of the sheets.

5 The disclosed prior art systems and methodologies thus provide basic document finishing systems, but fail to provide a mixed format document finishing device in which documents to be compiled include self-contained instructions which are used to compile the document. The development of such a mixed format finishing device would constitute a major technological advance.

10

### ***SUMMARY OF THE INVENTION***

15 A hybrid mixed format document that contains document portions prepared by different format sources, such as both black and white and colored pages, prepared by separately printing the colored pages on a color printer, and the black and white pages on a black and white printer. The two document portions are then put in separate locations within a mixed format finishing device. One of the document portions, for example the black and white document portion, includes a cover sheet that provides encoded information, which tells the finishing device how to merge the two document portions into a complete publication. One advantage of the mixed format finishing device is that those pages that contain only text may be printed on a faster, and less costly black and white printer. In a preferred embodiment, the cover sheet controls the document merging process in such a manner that if one document is misprinted or mismerged, the mismerged document may be shuttled aside and merging may continue 20 with the next complete document set.

25

### ***BRIEF DESCRIPTION OF THE DRAWINGS***

30 Figure 1 is a side view of a mixed format finishing device;

Figure 2 is a block diagram of a mixed format finishing process;

Figure 3 is a cover sheet having machine readable encoded information;

Figure 4 is a cover sheet having both machine readable encoded information and human readable information;

Figure 5 is a first printed document sheet which includes encoded information;

35 and

Figure 6 shows a stapled hybrid document;

Figure 7 shows a folded and stapled hybrid document; and

Figure 8 shows a hybrid document with a glued binding.

**DETAILED DESCRIPTION OF PREFERRED EMBODIMENTS**

Figure 1 is a side view of a mixed format finishing device 10. A first document portion 16a is transferred 12a to the finishing device 10 from a first document portion source 52a (FIG. 2), and is stored in a first document portion storage bin 14a. Similarly, a second document portion 16n is transferred 12n to the finishing device 10 from a second document portion source 52n (FIG. 2), and is stored in a second document portion storage bin 14n. The first document portion 16a includes document pages 18 and a cover page 22. The cover page 22 includes encoded information 26, which tells the finishing device 10 how to merge or collate the first document portion 16a and the second document portion 16n into a complete hybrid document publication 36.

The cover page 22 is forwarded to a compiler sensor 28, which reads the encoded information 26, and transfers the encoded information 26 to a compiler controller 30. The compiler controller 30 selectively sends a page processing signal 32 to a first paper transfer device 24a, which moves pages 18 from within the first document portion 16a from the first document portion storage bin 14a. The page processing signal 32 is also selectively sent to a second paper transfer device 24n, which moves pages 20 from within the second document portion 16n from the second document portion storage bin 14n. Pages 18 from the first document portion 16a and pages 20 from the second document portion 16n are thus controllably collated or merged into a hybrid document 36, and are collected in a hybrid document storage bin 34. Compiled hybrid documents 36 are then controllably moved 40 out of the hybrid document storage bin 34 by a hybrid document transfer device 38.

The moved hybrid documents 36 are then available for post collation procedures, such as the addition of covers or document binding operations. Post collation procedures can also be controllably accomplished in response to encoded information 36 contained on the cover sheet 22. Cover sheets are typically diverted 42 away from the processing area, and may be collected in a cover sheet storage bin 58 (FIG. 2).

**Remote Plotting Process.** Figure 2 is a block diagram of the mixed format finishing process 50, which comprises the following steps:

- 35 i) receiving 12a-12n a plurality of document portions 16a-16n produced by one or more formats 52a-52n, one of said document portions 16a including a cover sheet 22 having encoded assembly information 26; and

ii) compiling 53a-53n said plurality of document portions 16a-16n into a finished mixed format document 36 in response to said encoded assembly information 26 stored on said cover sheet 22.

5

In some embodiments of the mixed format finishing process 50, post compiling steps 54 are also performed on the collated mixed format documents 36, such as folding 78, covering 82, stapling 74, and binding 84 operations (FIGS 6-8).

10

In other embodiments of the mixed format finishing process 50, incomplete or miscollected mixed format documents 36 are controllably diverted to an incomplete document storage area 56.

15

**Document Portion Sources.** The mixed format finishing device 10 is able to receive and collate pages 18, 20 from a wide variety of document portion sources 52, which may include black and white printers, process color printers, spot color printers, transparent overlay sources, page divider sources, and special page sources (e.g. inserts, special stock, fold-outs, pre-printed, embossed or cut pages). In one embodiment, a plurality of printers 52 are used to provide a high volume of pages 18, 20 to the mixed format finishing device 10, which also allows the system to continue to operate as printers 52 go off-line for service or paper replenishment. Different printers 52 can also be used for different quality print jobs, or for different paper stock supplies.

20

**Cover pages.** Figure 3 shows a top view 60 of a cover page 22 for a basic embodiment of the mixed format finishing device 10, which typically contains encoded information 26 that is machine readable by the compiler sensor 28 and the compiler controller 30.

25

The encoded information 26 on the cover sheet 22 includes a document map, which is a specification for the order in which pages 18, 20, such as black and white pages 18 and color pages 20, are required to be compiled to produce a hybrid document 36.

30

In a preferred embodiment of the mixed format finishing device 10, cover pages 22 include both machine-readable encoded information 26, and human readable information 64, as shown in the top view of Figure 4. The human readable information 64 provides users, such as print and finishing room operators, with information regarding the contents of a hybrid document 36, such as the printers 52 used for the pages 18, 20 that make up the hybrid document, the preferred paper stock to be used for pages 18, 20, the order that the pages 18, 20 are to be compiled, and post compiling instructions, such as folding 78, stapling 74, cover stock 82, and binding 84.

35

Figure 5 is a top view 66 of a cover page 22 which is a page 18, 20 to be included within a hybrid document 36, that also contains encoded information 26. In this preferred embodiment of the mixed format finishing device 10, the cover sheet 22 is an integral page 18, 20 to be included within a hybrid document 36. The integral cover

sheet 22 does not have to be separated 42 from the compiled document 36, as it functions as a title page for the hybrid document 36, and may contain text 68 or graphics 70.

5 In some embodiments of the mixed format finishing device 10, a cover sheet 22 is provided as a printed page for each hybrid document 36, and is typically the first page 18 from a black and white printer source 52a. When a cover sheet 22 is provided for each hybrid document 36, the cover sheet 22 acts as a divider between documents 36. When the mixed format finishing device 10 compiles a hybrid document 36 with a given amount of pages 18, 20, it compares the specified page count, which is typically included in the encoded information 26, to the actual pages transferred between the document portion storage bins 14a-n, as counted between subsequent cover sheets 22. 10 If the specified page count differs from the actual page count, the mixed format finishing device 10 controllably routes the document 36 to an incomplete document storage bin 56.

15 In another embodiment of the invention, in which multiple hybrid documents 36 having identical specifications are processed, a single cover sheet 22 is provided as the first printed page of the first hybrid document 36, and is typically the first page from a black and white printer source 52a.

20 **Post Collation Procedures.** As discussed above, after the mixed format hybrid documents 36 are properly collated, they are transferred away from the hybrid document storage bin 34. After collation, the hybrid documents 36 can be processed with other finishing operations, which can also be specified within the encoded information 26 on the cover pages 22. Figure 6 provides a perspective view 72 of a hybrid document 36 having a staple 74. Figure 7 is a perspective view 76 of a hybrid document 36 having a center fold 78 and two staples 74. Figure 8 is a perspective view 80 of a hybrid document 36 having a cover 82 and an adhesive binding 84.

25 **System Advantages.** The mixed format finishing device 10 provides many advantages over prior document finishing systems. One advantage is that a portion of the pages 18,20 within a hybrid document 36 which contain only text may be printed on a faster, and less costly black and white printer 52a. Another advantage is that the cover sheet 22 controls the document merging process in such a manner that if one mixed format document 36 is misprinted or mismerged, the mismerged mixed format document 36 may be shuttled aside, such as to an incomplete document storage bin 56, and merging may continue with the next complete document set 16a-n.

30 35 In one embodiment of the mixed format finishing system 10, black and white pages 18 are printed on a black and white format printer 52a, which includes a cover sheet 22 having encoded information 26, and color pages 20 are printed on a color format printer 52b. The black and white pages 18 are then forwarded to the first document portion storage bin 14a, and the color pages 20 and forwarded to the second

5

document portion storage bin 14n. The mixed format finishing device 10 then compiles the black and white pages 18 and the color pages 20 into a hybrid document 36, wherein the encoded information 26 is used by the device 10 to controllably merge the compiled hybrid document 36. In this manner, black and white pages 18 can be printed quickly and inexpensively on an efficient black and white printer 52a, and more expensive or time-intensive printing, such as color printing, can be selectively limited only to pages 20 within a document that require color printing.

10

Although the mixed format finishing device and its methods of use are described herein in connection with printers and collators, the apparatus and techniques can be implemented for other printing, sorting and assembly devices, or any combination thereof, as desired.

15

Accordingly, although the invention has been described in detail with reference to a particular preferred embodiment, persons possessing ordinary skill in the art to which this invention pertains will appreciate that various modifications and enhancements may be made without departing from the spirit and scope of the claims that follow.

**CLAIMS**

What is claimed is:

- 5 1. A mixed format finishing device, comprising:  
a plurality of document portion feeder locations each adapted to receive one of a plurality of document portions, said document portions produced by one or more formats, one of said document portions including a cover sheet having machine readable encoded assembly information; and  
10 a document compiler adapted to receive said plurality of document portions, and adapted to compile said plurality of document portions into a finished document in response to said encoded assembly information on said cover sheet.
- 15 2. The mixed format finishing device of Claim 1, wherein one of said document portions is produced by a black and white printer.
3. The mixed format finishing device of Claim 1, wherein one of said document portions is produced by a color printer.
- 20 4. The mixed format finishing device of Claim 1, wherein said encoded assembly information is stored in a bar code format.
5. The mixed format finishing device of Claim 1, wherein said cover sheet contains human readable assembly information.
- 25 6. The mixed format finishing device of Claim 1, wherein said cover sheet contains document text.
- 30 7. The mixed format finishing device of Claim 1, wherein said cover sheet contains document graphics.
8. The mixed format finishing device of Claim 1, further comprising:  
means for diverting incomplete documents to an incomplete document storage bin.
- 35 9. The mixed format finishing device of Claim 1, wherein said encoded assembly information includes document cover information.

10. The mixed format finishing device of Claim 1, wherein said encoded assembly information includes binding information.

11. A process, comprising the steps of:  
5 receiving a plurality of document portions produced by one or more formats, one of said document portions including a cover sheet having encoded assembly information; and  
compiling said plurality of document portions into a finished document in response to said encoded assembly information stored on said cover sheet.

10 12. The process of Claim 11, wherein one of said document portions is produced by a black and white printer.

13. The process of Claim 11, wherein one of said document portions is produced 15 by a color printer.

14. The process of Claim 11, wherein said encoded assembly information is stored in a bar code format.

20 15. The process of Claim 11, wherein said cover sheet contains human readable assembly information.

16. The process of Claim 11, wherein said cover sheet contains document text.

25 17. The process of Claim 11, wherein said cover sheet contains document graphics.

18. The process of Claim 11, further comprising the step of:  
diverting incomplete documents to an incomplete document storage bin.

30 19. The process of Claim 11, wherein said encoded assembly information includes document cover information.

20. The process of Claim 11, wherein said encoded assembly information includes binding information.

1/4

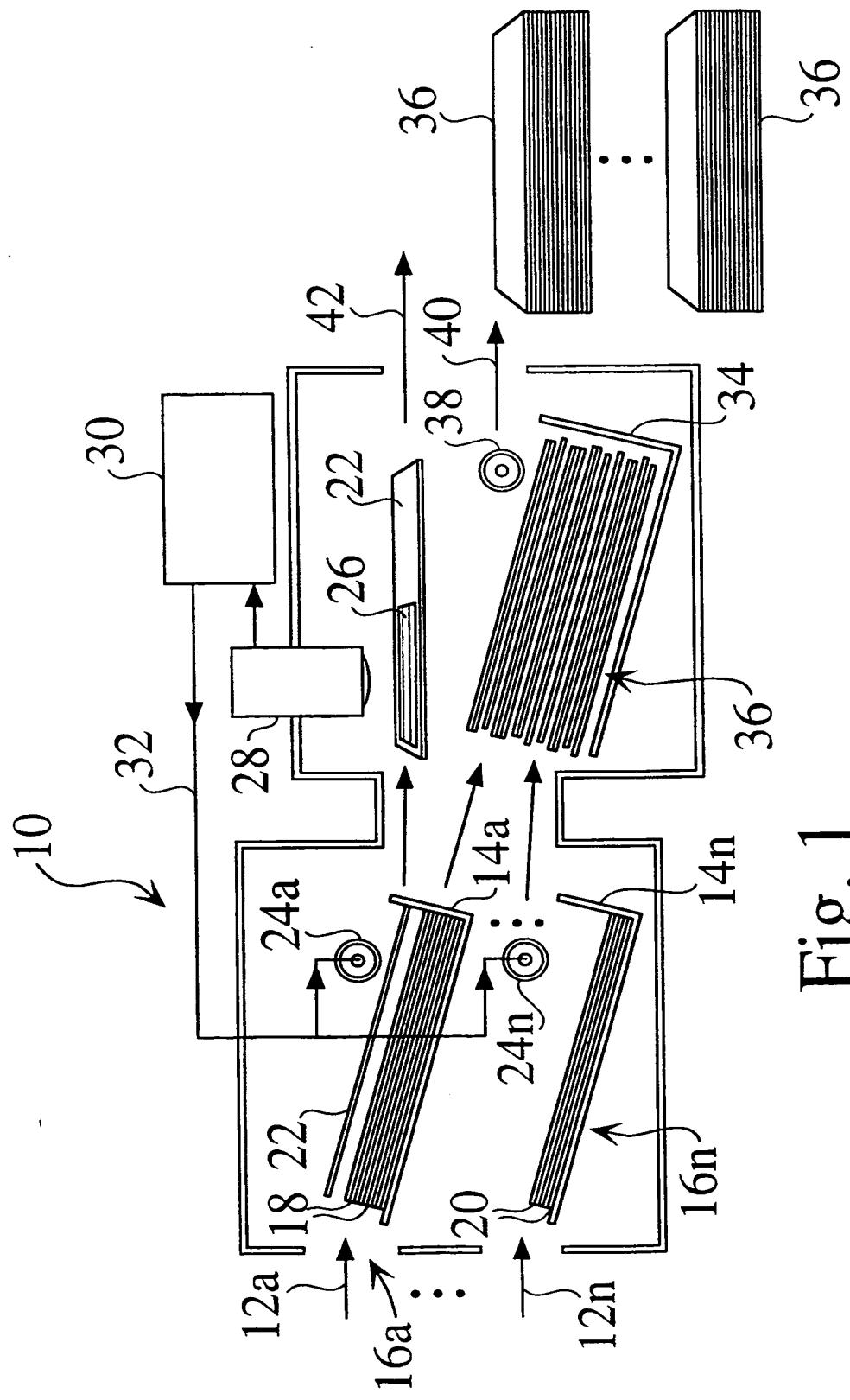
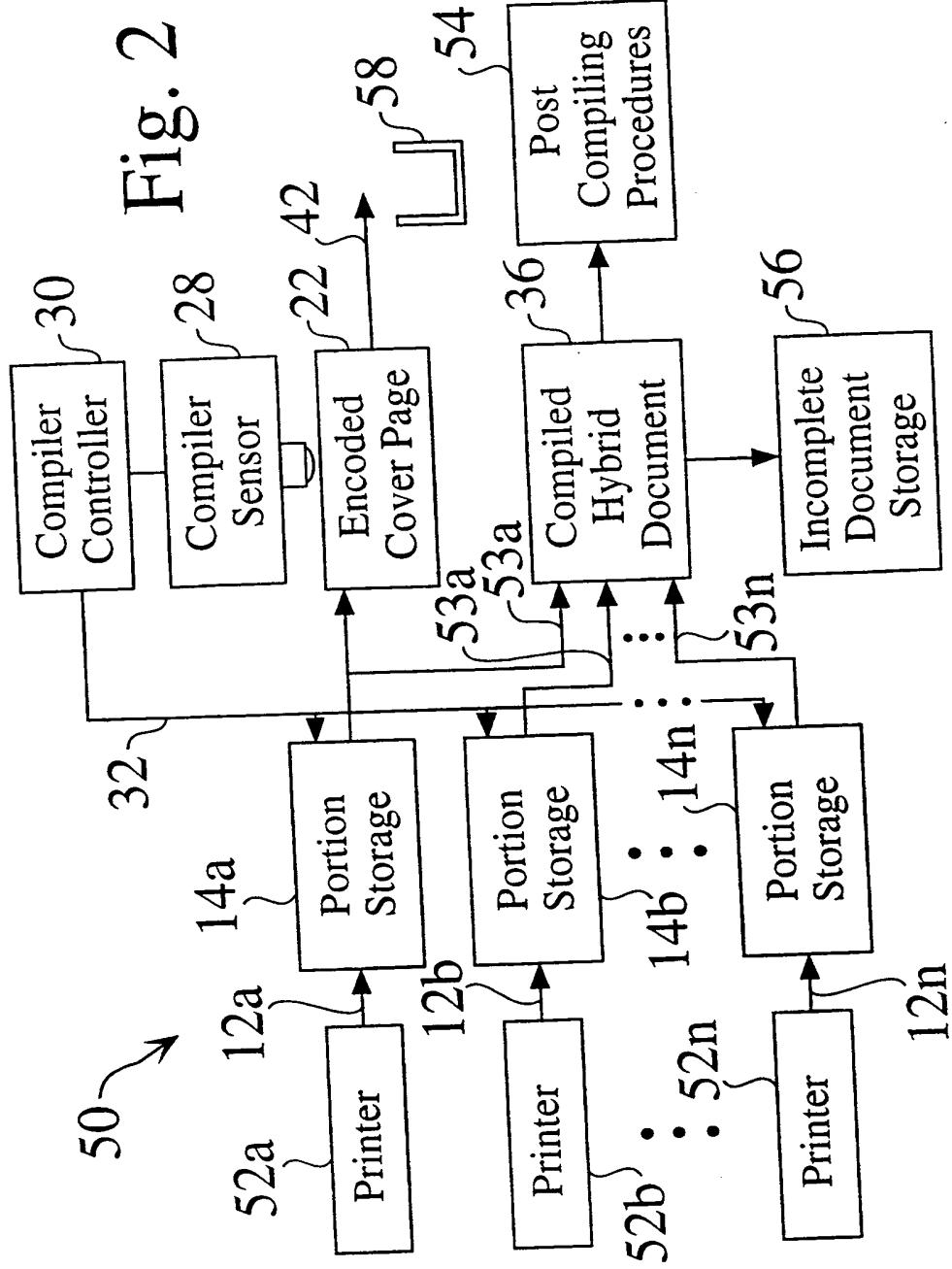


Fig. 1

2/4

Fig. 2



3/4

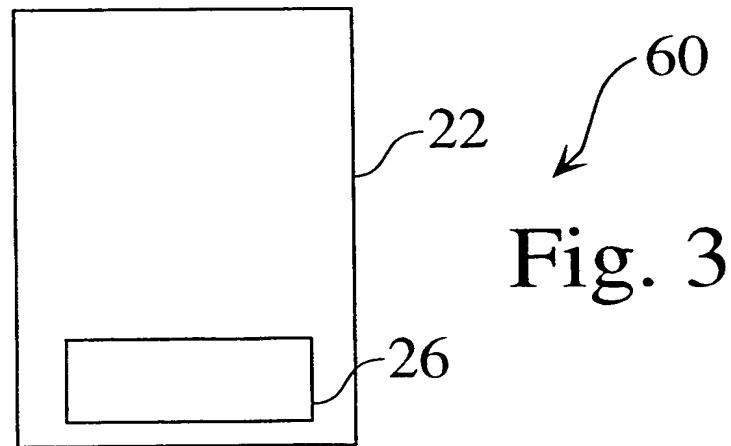


Fig. 3

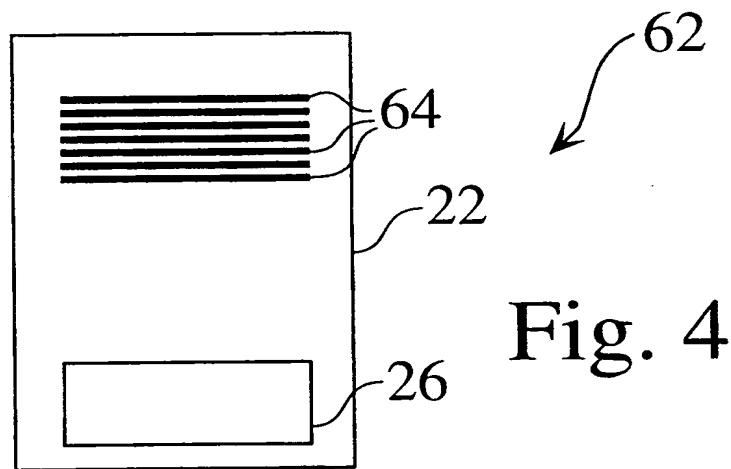


Fig. 4

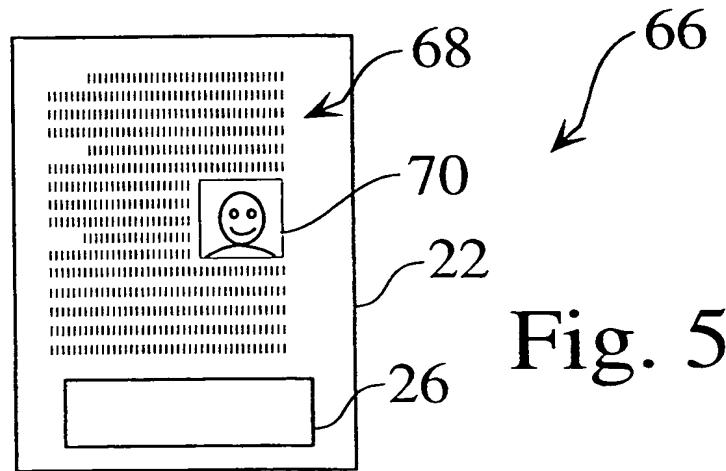


Fig. 5

4/4

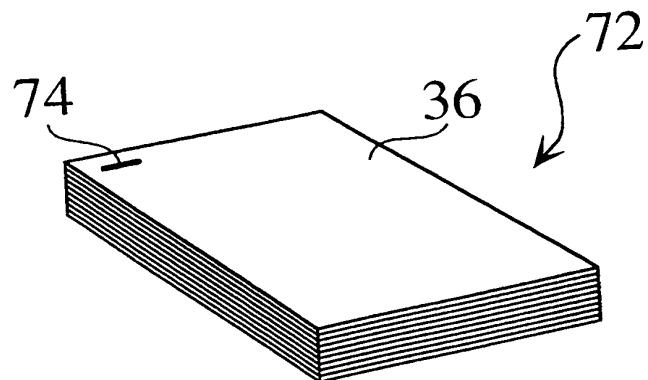


Fig. 6

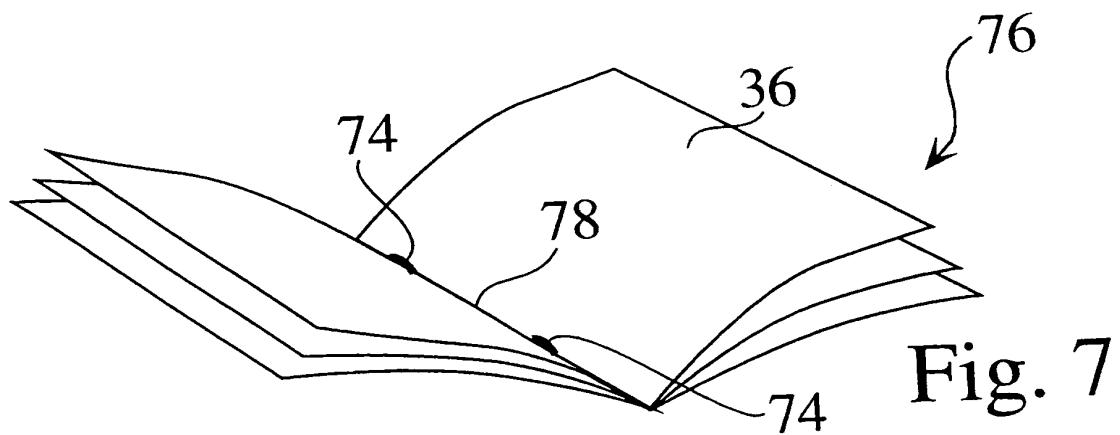


Fig. 7

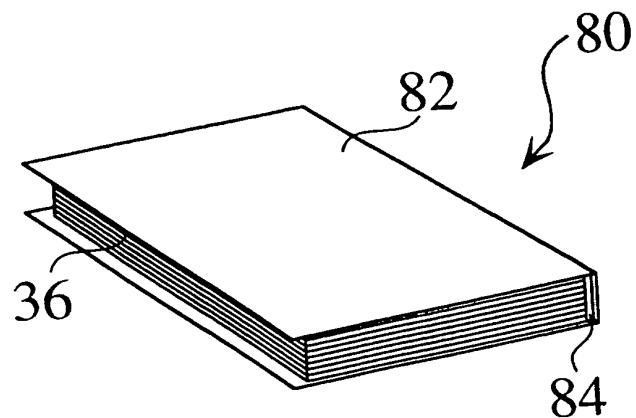


Fig. 8

# INTERNATIONAL SEARCH REPORT

International Application No

PCT/US 98/25250

**A. CLASSIFICATION OF SUBJECT MATTER**  
 IPC 6 B65H39/04 B42C19/02

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)  
 IPC 6 B65H B42C

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	EP 0 439 257 A (KENRICK & JEFFERSON LTD) 31 July 1991  see the whole document ---	1-3,5-7, 9,11-13, 15-17,19
X	US 4 989 852 A (GUNTHER JR WILLIAM H) 5 February 1991 see column 3, line 41 - line 68; claims 1,2; figures ---	1,4,10, 11,14,20
X	US 4 602 776 A (YORK JAMES R ET AL) 29 July 1986 see column 6, line 4 - line 21 see column 7, line 25 - line 28 see column 8, line 63 - column 9, line 32 --- -/-	1,11

Further documents are listed in the continuation of box C.

Patent family members are listed in annex.

° Special categories of cited documents :

- "A" document defining the general state of the art which is not considered to be of particular relevance
- "E" earlier document but published on or after the international filing date
- "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- "O" document referring to an oral disclosure, use, exhibition or other means
- "P" document published prior to the international filing date but later than the priority date claimed

"T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention

"X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone

"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.

"Z" document member of the same patent family

Date of the actual completion of the international search

23 March 1999

Date of mailing of the international search report

31/03/1999

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl.  
Fax: (+31-70) 340-3016

Authorized officer

Thibaut, E

## INTERNATIONAL SEARCH REPORT

Int'l Application No

PCT/US 98/25250

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	DE 29 35 827 A (SCHWARZBERG AXEL) 12 March 1981 see page 5, line 7 - line 39; figures ----	1,11
A	EP 0 685 420 A (FERAG AG) 6 December 1995 see abstract; figures ----	8,18
A	US 5 489 969 A (SOLER JOSE J ET AL) 6 February 1996 cited in the application -----	

**INTERNATIONAL SEARCH REPORT**

Information on patent family members

 International Application No  
 PCT/US 98/25250

Patent document cited in search report	Publication date	Patent family member(s)			Publication date
EP 0439257	A 31-07-1991	NONE			
US 4989852	A 05-02-1991	NONE			
US 4602776	A 29-07-1986	DE 3535790 A		24-04-1986	
		GB 2165823 A, B		23-04-1986	
		JP 1956158 C		28-07-1995	
		JP 6088732 B		09-11-1994	
		JP 61174063 A		05-08-1986	
DE 2935827	A 12-03-1981	NONE			
EP 0685420	A 06-12-1995	CA 2150281 A		04-12-1995	
		DE 59503051 D		10-09-1998	
		JP 8052957 A		27-02-1996	
		US 5613669 A		25-03-1997	
US 5489969	A 06-02-1996	EP 0735431 A		02-10-1996	
		JP 8282902 A		29-10-1996	

THIS PAGE BLANK (USPTO)